



\*Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number	10/781,804
Filing Date	March 19, 2003
First Named Inventor	Neil EKLUND et al.
Art Unit	3692
Examiner Name	Heather BEEGLE Ed Baird
Attorney Docket Number	52493.000363

Sheet 1 of 4

### U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 6278464	08-21-2001	Kohavi	
		US- 7047167	05-16-2006	Yamaguchi	
		US- 20020099929	07-25-2002	Jin	
		US- 20020065636	05-30-2002	Yamaguchi	
		US- 20030233304	12-18-2003	Dhurandhar	
		US- 20030110113	06-12-2003	Martin	
		US- 20040220837	11-04-2004	Bonissone	

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### FOREIGN PATENT DOCUMENTS

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		Country Code Number-Kind Code (if known)					YES	NO
/E.B./		WO	2002/075650 (abstract)	09-26-2002	Yao		<input type="checkbox"/>	<input type="checkbox"/>

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**OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS**

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and-or country where published	TRANSLATION	
			YES	NO
		Baglioni, S., et al., An Evolutionary Approach to Multiperiod Asset Allocation, Proceedings of Genetic Programming, (EuroGP'2000), vol. 1802, pages 225--236, Springer-Verlag, Edinburgh, 2000	<input type="checkbox"/>	<input type="checkbox"/>
		Loraschi, A., et al., An Evolutionary Algorithm For Portfolio Selection In A Downside Risk Framework, European Journal of Finance, 1994	<input type="checkbox"/>	<input type="checkbox"/>
		Kalvelagen, E., Solving Multi-Objective Models With GAMS, citeseer.nj.nec.com/article/kalvelagen02solving.html, September 20, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Rinaldo, F., A Comparison of Stochastic Search Heuristics for Portfolio Optimization, Proceedings of the Second International Conference on Artificial Intelligence Applications on Wall Street, Software Engineering Press, April, 1993, pp. 149-151	<input type="checkbox"/>	<input type="checkbox"/>
		Streichert, F., Introduction to Evolutionary Algorithms, University of Tuebingen, Presented at the Frankfurt MathFinance Workshop, April 2, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Korczak, et al., Evolutionary Approach to Portfolio Optimization, University of Wroclaw, Institute of Computer Science, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Eklund, N., Multi-objective optimization of spectra using genetic algorithms, Dept. of Decision Sciences and Engineering Systems, RPI, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Bodie, Z., et al., Investments, Fourth edition, Irwin/McGraw Hill, 1999	<input type="checkbox"/>	<input type="checkbox"/>
		DeFusco, R.A., et al., Quantitative Methods for Investment Analysis, AIMR, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Hull, J.C., Options, Futures & Other Derivatives, Fourth Edition, Prentice-Hall, 2000	<input type="checkbox"/>	<input type="checkbox"/>
		Back, Thomas, Evolutionary Algorithms in Theory and Practice, Oxford University Press, New York, 1996	<input type="checkbox"/>	<input type="checkbox"/>
		Breiman, L., et al., Classification and Regression Trees, Wadsworth International Group, California, 1984	<input type="checkbox"/>	<input type="checkbox"/>
		De ath, G., Multivariate Regression Trees: A new technique for modeling species-environment relationships, Ecology, pg 1105, 2001	<input type="checkbox"/>	<input type="checkbox"/>

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			YES	NO
		Coello, C., et al. Evolutionary Algorithm MOP Approaches, Evolutionary Algorithms for Solving Multi-Objective Problems, pp 59-99. Kluwer Academic, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Goldberg, D., Genetic Algorithms in Search, Optimization, and Machine Learning, Addison-Wesley, Massachusetts, 1989	<input type="checkbox"/>	<input type="checkbox"/>
		Dempster, A., Upper and lower probabilities induced by a multivalued mapping, Annals of Mathematical Statistics, 38:325-339, 1976	<input type="checkbox"/>	<input type="checkbox"/>
		Shafer, G., A Mathematical Theory of Evidence, Princeton University Press, Princeton, New Jersey, 1967	<input type="checkbox"/>	<input type="checkbox"/>
		Schweizer B., et al., Associative Functions and Abstract Semi-Groups, Publicationes Mathematicae Debrecen, 10:69-81, 1963	<input type="checkbox"/>	<input type="checkbox"/>
		Bonissone, P., Summarizing and Propagating Uncertain Information with Triangular Norms, International Journal of Approximate Reasoning, 1(1):71-101, January 1987	<input type="checkbox"/>	<input type="checkbox"/>
		Winston, W., Operations Research: Applications and Algorithms, Duxbury Press, Belmont, California, 1994	<input type="checkbox"/>	<input type="checkbox"/>
		Goldberg, D., The Design of Innovation: Lessons from and for Competent Genetic Algorithms Kluwer Academic Publishers, Norwell, Mass., 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Michalewicz, Z., Genetic Algorithms+Data Structures=Evolution Programs (3rd. Ed). Springer-Verlag, Berlin, 1996	<input type="checkbox"/>	<input type="checkbox"/>
		Josephson, J.R., et al. An Architecture for Exploring Large Design Spaces, Proceedings of National Conference of the American Association for Artificial Intelligence, Madison, Wis., pp. 143-150, 1998	<input type="checkbox"/>	<input type="checkbox"/>
		Tarascio, V., Pareto's Methodological Approach to Economics, University of North Carolina Press, Chapel Hill, Va., 1968	<input type="checkbox"/>	<input type="checkbox"/>
		Fong, G., A Multidimensional Framework for Risk Analysis, Financial Analysts Journal, July/August, 1997	<input type="checkbox"/>	<input type="checkbox"/>
		Larsen, D., et al., Multivariate Regression Tree for analysis of abundance data, 2002	<input type="checkbox"/>	<input type="checkbox"/>

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			YES	NO
		<del>Albanese, C., et al. Dimension Reduction in the computation of Value at risk, February 28, 2002</del>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
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